

## Senate Study Bill 3097 - Introduced

SENATE RESOLUTION NO. \_\_\_\_\_

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY  
CHAIRPERSON HORN)

1 A Resolution amending the Senate Code of Ethics  
2 relating to employment restrictions for senators.  
3 BE IT RESOLVED BY THE SENATE, That the Senate Code  
4 of Ethics, as adopted by the Senate during the 2013  
5 Session in Senate Resolution 3, is amended to read as  
6 follows:

7 SENATE CODE OF ETHICS

8 PREAMBLE. Every legislator owes a duty to uphold  
9 the integrity and honor of the general assembly, to  
10 encourage respect for the law and for the general  
11 assembly and the members thereof, and to observe the  
12 legislative code of ethics.

13 In doing so, members of the senate have a duty to  
14 conduct themselves so as to reflect credit on the  
15 general assembly, and to inspire the confidence,  
16 respect, and trust of the public, and to strive to  
17 avoid both unethical and illegal conduct and the  
18 appearance of unethical and illegal conduct.

19 Recognizing that service in the Iowa general  
20 assembly is a part-time endeavor and that members of  
21 the general assembly are honorable individuals who  
22 are active in the affairs of their localities and  
23 elsewhere and that it is necessary that they maintain  
24 a livelihood and source of income apart from their  
25 legislative compensation, the following rules are  
26 adopted pursuant to section 68B.31, to assist the  
27 members in the conduct of their legislative affairs.

1     1. ECONOMIC INTEREST OF SENATOR. Taking into  
2 account that legislative service is part-time, a  
3 senator shall not accept economic or investment  
4 opportunity, under circumstances where the senator  
5 knows, or should know, that there is a reasonable  
6 possibility that the opportunity is being afforded the  
7 senator with intent to influence the senator's conduct  
8 in the performance of official duties.

9     2. DIVESTITURE. Where a senator learns that  
10 an economic or investment opportunity previously  
11 accepted was offered with the intent of influencing  
12 the senator's conduct in the performance of official  
13 duties, the senator shall take steps to divest that  
14 senator of that investment or economic opportunity, and  
15 shall report the facts of the situation to the senate  
16 ethics committee.

17     3. CHARGES FOR SERVICES. A senator shall not  
18 charge to or accept from a person, corporation,  
19 partnership, or association known to have a legislative  
20 interest a price, fee, compensation, or other  
21 consideration for the sale or lease of any property or  
22 the furnishing of services which is in excess of that  
23 which the senator would charge another.

24     4. USE OF CONFIDENTIAL INFORMATION. A senator in  
25 order to further the senator's own economic or other  
26 interests, or those of any other person, shall not  
27 disclose or use confidential information acquired in  
28 the course of official duties.

29     5. HONORARIA. A senator shall not accept an  
30 honorarium from a restricted donor for a speech,

1 writing for publication, or other similar activity,  
2 except as otherwise provided in section 68B.23.

3     6. EMPLOYMENT. A senator shall not accept  
4 employment, either directly or indirectly, from a  
5 political action committee, a candidate committee,  
6 or from an organization exempt from taxation under  
7 section 501(c)(4), 501(c)(6), or 527 of the Internal  
8 Revenue Code that engages in activities related to the  
9 nomination, election, or defeat of a candidate for  
10 public office. A senator may accept employment from  
11 a political party, but shall disclose the employment  
12 relationship in writing to the secretary of the senate  
13 within ten days after the beginning of each legislative  
14 session. If a senator accepts employment from a  
15 political party during a legislative session, the  
16 senator shall disclose the employment relationship  
17 within ten days after acceptance of the employment.

18     For the purpose of this rule, a political action  
19 committee means a committee, ~~but not a candidate's~~  
20 ~~committee,~~ which accepts contributions, makes  
21 expenditures, or incurs indebtedness in the aggregate  
22 of more than seven hundred fifty dollars in any one  
23 calendar year to expressly advocate the nomination,  
24 election, or defeat of a candidate for public office  
25 or to expressly advocate the passage or defeat of  
26 a ballot issue or influencing legislative action,  
27 or an association, lodge, society, cooperative,  
28 union, fraternity, sorority, educational institution,  
29 civic organization, labor organization, religious  
30 organization, or professional organization which makes

1 contributions in the aggregate of more than seven  
2 hundred fifty dollars in any one calendar year to  
3 expressly advocate the nomination, election, or defeat  
4 of a candidate for public office or ballot issue or  
5 influencing legislative action.

6 For the purpose of this rule, a candidate committee  
7 means the committee designated by any candidate for  
8 a federal, state, county, city, or school office to  
9 receive contributions in excess of seven hundred fifty  
10 dollars in the aggregate, expend funds in excess of  
11 seven hundred fifty dollars in the aggregate, or incur  
12 indebtedness on behalf of the candidate in excess of  
13 seven hundred fifty dollars in the aggregate in any  
14 calendar year.

15 7. ECONOMIC INTERESTS OF LOBBYIST. With the  
16 exception of exercising unfettered discretion in  
17 supporting or refusing to support proposed legislation,  
18 a senator shall not take action intended to affect the  
19 economic interests of a lobbyist or citizen supporting  
20 or opposing proposed legislation.

21 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A  
22 senator may appear before a governmental agency or  
23 board in any representation case, except that the  
24 senator shall not act as a lobbyist. Whenever a  
25 senator appears before a governmental agency or board,  
26 the senator shall carefully avoid all conduct which  
27 might in any way lead members of the general public  
28 to conclude that the senator is using the senator's  
29 official position to further the senator's professional  
30 success or personal financial interest.

1     9. CONFLICTS OF INTERESTS. In order to permit the  
2 general assembly to function effectively, a senator  
3 will sometimes be required to vote on bills and  
4 participate in committee work which will affect the  
5 senator's employment and other monetary interests. In  
6 making a decision relative to the senator's activity on  
7 given bills or committee work which are subject to the  
8 code, the following factors shall be considered:

9     a. Whether a substantial threat to the senator's  
10 independence of judgment has been created by the  
11 conflict situation.

12    b. The effect of the senator's participation on  
13 public confidence in the integrity of the legislature.

14    c. The need for the senator's particular  
15 contribution, such as special knowledge of the  
16 subject matter, to the effective functioning of the  
17 legislature.

18    A senator with a conflict of interest may  
19 participate in floor debate if prior to debate the  
20 senator indicates the conflict of interest.

21    10. GIFTS. Except as otherwise provided in section  
22 68B.22, a senator, or that person's immediate family  
23 member, shall not, directly or indirectly, accept or  
24 receive any gift or series of gifts from a restricted  
25 donor.

26    11. DISCLOSURE REQUIRED. Each senator shall file  
27 with the secretary of the senate within ten days after  
28 the adoption of the code of ethics by the senate, and  
29 within ten days after the convening of the second  
30 session of the general assembly, a statement under

1 section 68B.35 on forms provided by the secretary of  
2 the senate setting forth the following information:

3     The nature of each business in which the senator  
4 is engaged and the nature of the business of each  
5 company in which the senator has a financial interest.  
6 A senator shall not be required to file a report or  
7 be assumed to have a financial interest if the annual  
8 income derived from the investment in stocks, bonds,  
9 bills, notes, mortgages, or other securities offered  
10 for sale through recognized financial brokers is less  
11 than one thousand dollars.

12     Disclosures required under this rule shall be as  
13 of the date filed unless provided to the contrary,  
14 and shall be amended to include interests and changes  
15 encompassed by this rule that occur while the general  
16 assembly is in session. All filings under this rule  
17 shall be open to public inspection in the office of the  
18 secretary of the senate at all reasonable times.

19     The secretary of the senate shall inform the  
20 ethics committee of the statements which are filed  
21 and shall report to the ethics committee the names of  
22 any senators who appear not to have filed complete  
23 statements. The chairperson of the ethics committee  
24 shall request in writing that a senator who has failed  
25 to complete the report or appears to have filed an  
26 incomplete report do so within five days, and, upon  
27 the failure of the senator to comply, the ethics  
28 committee shall require the senator to appear before  
29 the committee.

30     12. STATUTORY VIOLATIONS. Members of the general

1 assembly are urged to familiarize themselves with  
2 chapters 68B, 721, and 722.

3 13. CHARGE ACCOUNTS. Senators shall not charge any  
4 amount or item to any charge account to be paid for by  
5 any lobbyist or any client the lobbyist represents.

6 14. TRAVEL EXPENSES. A senator shall not charge  
7 to the state of Iowa amounts for travel and expenses  
8 unless the senator actually has incurred those mileage  
9 and expense costs. Senators shall not file the  
10 vouchers for weekly mileage reimbursement required  
11 by section 2.10, subsection 1, unless the travel  
12 was actually incurred at commensurate expense to the  
13 senator.

14 15. COMPLAINTS. Complaints or charges against  
15 any senator or any lobbyist shall be in writing, made  
16 under oath, and filed with the secretary of the senate  
17 or the chairperson of the ethics committee. If filed  
18 with the secretary of the senate, the secretary shall  
19 immediately advise the chairperson of the ethics  
20 committee of the receipt of the complaint.

21 Complaint forms shall be available from the  
22 secretary of the senate, or the chairperson of the  
23 ethics committee, but a complaint shall not be rejected  
24 for failure to use an approved form if the complaint  
25 substantially complies with senate requirements.

26 A complainant may submit exhibits and affidavits  
27 attached to the complaint.

28 16. FILING OF COMPLAINTS.

29 a. *Persons entitled.* Complaints may be filed by any  
30 person believing that a senator, lobbyist, or client

1 of a lobbyist has violated the senate ethics code,  
2 the joint rules governing lobbyists, or chapter 68B  
3 of the Iowa Code. A violation of the criminal law may  
4 be considered to be a violation of this code of ethics  
5 if the violation constitutes a serious misdemeanor or  
6 greater, or a repetitive and flagrant violation of the  
7 law.

8     b. *Committee complaint.* The ethics committee  
9 may, upon its own motion, initiate a complaint,  
10 investigation, or disciplinary action.

11     c. *Timeliness of filing.* A complaint will be  
12 considered to be timely filed if it is filed within  
13 three years of the occurrence of the alleged violation  
14 of the ethics code.

15     17. PERMANENT RECORD. The secretary of the senate  
16 shall maintain a permanent record of all complaints  
17 filed, evidence received by the committee, and any  
18 transcripts or other recordings made of committee  
19 proceedings, including a separate card file containing  
20 the date filed, name and address of the complainant,  
21 name and address of the respondent, a brief statement  
22 of the charges made, and ultimate disposition of  
23 the complaint. The secretary shall keep each such  
24 complaint confidential until public disclosure is made  
25 by the ethics committee.

26     18. PREHEARING PROCEDURE.

27     a. *Defective complaint.* Upon receipt of a  
28 complaint, the chairperson and ranking member of the  
29 ethics committee shall determine whether the complaint  
30 substantially complies with the requirements of this



1 code of ethics and section 68B.31, subsection 6. If  
2 the complaint does not substantially comply with  
3 the requirements for formal sufficiency under the  
4 code of ethics, the complaint may be returned to the  
5 complainant with a statement that the complaint is not  
6 in compliance with the code and a copy of the code. If  
7 the complainant fails to amend the complaint to comply  
8 with the code within a reasonable time, the chairperson  
9 and ranking member may dismiss the complaint with  
10 prejudice for failure to prosecute.

11     b. *Service of complaint on respondent.* Upon  
12 receipt of any complaint substantially complying  
13 with the requirements of this code of ethics, the  
14 chairperson of the ethics committee shall cause a copy  
15 of the complaint and any supporting information to  
16 be delivered promptly to the respondent, requesting  
17 a written response to be filed within ten days. The  
18 response may do any of the following:

- 19       (1) Admit or deny the allegation or allegations.  
20       (2) Object that the allegation fails to allege a  
21 violation of chapter 68B or the code of ethics.  
22       (3) Object to the jurisdiction of the committee.  
23       (4) Request a more specific statement of the  
24 allegation or allegations.

25     c. *Objection to member.* In addition to the  
26 items which may be included in a response pursuant  
27 to paragraph "b", the response may also include an  
28 objection to the participation of any member of the  
29 committee in the consideration of the allegation or  
30 allegations on the grounds that the member cannot

1 render an impartial and unbiased decision.

2 d. *Extension of time.* At the request of the  
3 respondent and upon a showing of good cause, the  
4 committee, or the chairperson and ranking member,  
5 may extend the time for response, not to exceed ten  
6 additional days.

7 e. *Confidentiality.* If a complaint is not  
8 otherwise made public, the members of the committee  
9 shall treat the complaint and all supporting  
10 information as confidential until the written response  
11 is received from the respondent.

12 f. *Communications with ethics committee.* After a  
13 complaint has been filed or an investigation has been  
14 initiated, a party to the complaint or investigation  
15 shall not communicate, or cause another to communicate,  
16 as to the merits of the complaint or investigation with  
17 a member of the committee, except under the following  
18 circumstances:

19 (1) During the course of any meetings or other  
20 official proceedings of the committee regarding the  
21 complaint or investigation.

22 (2) In writing, if a copy of the writing is  
23 delivered to the adverse party or the designated  
24 representative for the adverse party.

25 (3) Orally, if adequate prior notice of the  
26 communication is given to the adverse party or the  
27 designated representative for the adverse party.

28 (4) As otherwise authorized by statute, the senate  
29 code of ethics, the joint rules governing lobbyists, or  
30 vote of the committee.

1     g. *Scheduling hearing.* Upon receipt of the  
2 response, the committee shall schedule a public meeting  
3 to review the complaint and available information, and  
4 shall do one of the following:

5     (1) Notify the complainant that no further  
6 action will be taken, unless further substantiating  
7 information is produced.

8     (2) Dismiss the complaint for failure to meet the  
9 statutory and code of ethics requirements for valid  
10 complaints.

11    (3) Take action on the complaint without requesting  
12 the appointment of an independent special counsel  
13 if the committee determines the complaint is valid  
14 and determines no dispute exists between the parties  
15 regarding the material facts that establish a  
16 violation. The committee may do any of the following:

17    (a) Issue an admonishment to advise against the  
18 conduct that formed the basis for the complaint and to  
19 exercise care in the future.

20    (b) Issue an order to cease and desist the conduct  
21 that formed the basis for the complaint.

22    (c) Make a recommendation to the senate that  
23 the person subject to the complaint be censured or  
24 reprimanded.

25    (4) Request that the chief justice of the supreme  
26 court appoint an independent special counsel to conduct  
27 an investigation of the complaint and supporting  
28 information, to make a determination of probable cause,  
29 and to report the findings to the committee, which  
30 shall be received within a reasonable time.

1     h. *Public hearing.* If independent special counsel  
2 is appointed, upon receipt of the report of independent  
3 special counsel's findings, the committee shall  
4 schedule a public meeting to review the report and  
5 shall do either of the following:

6       (1) Cause the complaint to be scheduled for a  
7 public hearing.

8       (2) Dismiss the complaint based upon a  
9 determination by independent special counsel and the  
10 committee that insufficient evidence exists to support  
11 a finding of probable cause.

12     19. HEARING PROCEDURE.

13     a. *Notice of hearing.* If the committee causes a  
14 complaint to be scheduled for a public hearing, notice  
15 of the hearing date and time shall be given to the  
16 complainant and respondent in writing, and of the  
17 respondent's right to appear in person, be represented  
18 by legal counsel, present statements and evidence, and  
19 examine and cross-examine witnesses. The committee  
20 shall not be bound by formal rules of evidence, but  
21 shall receive relevant evidence, subject to limitations  
22 on repetitiveness. Any evidence taken shall be under  
23 oath.

24     b. *Subpoena power.* The committee may require, by  
25 subpoena or otherwise, the attendance and testimony of  
26 witnesses and the production of such books, records,  
27 correspondence, memoranda, papers, documents, and any  
28 other things it deems necessary to the conduct of the  
29 inquiry.

30     c. *Ex post facto.* An investigation shall not be

1 undertaken by the committee of a violation of a law,  
2 rule, or standard of conduct that is not in effect at  
3 the time of violation.

4     d. *Disqualification of member.* Members of the  
5 committee may disqualify themselves from participating  
6 in any investigation of the conduct of another person  
7 upon submission of a written statement that the member  
8 cannot render an impartial and unbiased decision  
9 in a case. A member may also be disqualified by a  
10 unanimous vote of the remaining eligible members of the  
11 committee.

12     A member of the committee is ineligible to  
13 participate in committee meetings, as a member of the  
14 committee, in any proceeding relating to the member's  
15 own official conduct.

16     If a member of the committee is disqualified or  
17 ineligible to act, the majority or minority leader who  
18 appointed the member shall appoint a replacement member  
19 to serve as a member of the committee during the period  
20 of disqualification or ineligibility.

21     e. *Hearing.* At the hearing, the chairperson shall  
22 open the hearing by stating the charges, the purpose of  
23 the hearing, and its scope. The burden of proof rests  
24 upon the complainant to establish the facts as alleged,  
25 by clear and convincing evidence. However, questioning  
26 of witnesses shall be conducted by the members of the  
27 committee, by independent special counsel, or by a  
28 senator. The chairperson shall also permit questioning  
29 by legal counsel representing the complainant or  
30 respondent.

1 The chairperson or other member of the committee  
2 presiding at a hearing shall rule upon procedural  
3 questions or any question of admissibility of evidence  
4 presented to the committee. Rulings may be reversed by  
5 a majority vote of the committee members present.

6 The committee may continue the hearing to a future  
7 date if necessary for appropriate reasons or purposes.

8 f. *Committee action.* Upon receipt of all relevant  
9 evidence and arguments, the committee shall consider  
10 the same and recommend to the senate any of the  
11 following:

12 (1) That the complaint be dismissed.

13 (2) That the senator, lobbyist, or client of a  
14 lobbyist be censured or reprimanded, and recommend the  
15 appropriate form of censure or reprimand.

16 (3) Any other appropriate sanction, including  
17 suspension or expulsion from membership in the senate,  
18 or suspension of lobbying privileges.

19 g. *Disposition resolution.* By appropriate  
20 resolution, the senate may amend, adopt, or reject  
21 the report of the ethics committee, including the  
22 committee's recommendations regarding disciplinary  
23 action.

24 20. COMMITTEE AUTHORIZED TO MEET. The senate  
25 ethics committee is authorized to meet at the  
26 discretion of the chairperson to conduct hearings and  
27 other business that properly may come before it. If  
28 the committee submits a report seeking senate action  
29 against a senator, lobbyist, or client of a lobbyist  
30 after the second regular session of a general assembly

1 has adjourned sine die, the report shall be submitted  
2 to and considered by the subsequent general assembly.  
3 However, the report may be submitted to and considered  
4 during any special session which may take place after  
5 the second regular session of a general assembly has  
6 adjourned sine die, but before the convening of the  
7 next general assembly.

8 21. ADVISORY OPINIONS.

9 a. *Requests for formal opinions.* A request for a  
10 formal advisory opinion may be filed by any person who  
11 is subject to the authority of the ethics committee.  
12 The ethics committee may also issue a formal advisory  
13 opinion on its own motion, without having previously  
14 received a formal request for an opinion, on any issue  
15 that is within the jurisdiction of the committee.  
16 Requests shall be filed with either the secretary of  
17 the senate or the chairperson of the ethics committee.

18 b. *Form and contents of requests.* A request for  
19 a formal advisory opinion shall be in writing and  
20 may pertain to any subject matter that is related  
21 to the application of the senate code of ethics, the  
22 joint rules governing lobbyists, or chapter 68B of the  
23 Code to any person who is subject to the authority of  
24 the ethics committee. Requests shall contain one or  
25 more specific questions and shall relate either to  
26 future conduct or be stated in the hypothetical. A  
27 request for an advisory opinion shall not specifically  
28 name any individual or contain any other specific  
29 identifying information, unless the request relates  
30 to the requester's own conduct. However, any request

1 may contain information which identifies the kind  
2 of individual who may be affected by the subject  
3 matter of the request. Examples of this latter kind  
4 of identifying information may include references to  
5 conduct of a category of individuals, such as but not  
6 limited to conduct of legislators, legislative staff,  
7 lobbyists, or clients of lobbyists.

8     *c. Confidentiality of formal requests and opinions.*  
9 Requests for formal opinions are not confidential and  
10 any deliberations of the committee regarding a request  
11 for a formal opinion shall be public. Opinions issued  
12 in response to requests for formal opinions are not  
13 confidential, shall be in writing, and shall be placed  
14 on file in the office of the secretary of the senate.  
15 Persons requesting formal opinions shall personally  
16 receive a copy of the written formal opinion that is  
17 issued in response to the request.

18     22. CALCULATION OF TIME — DAYS. For purposes of  
19 these rules, unless the context otherwise requires,  
20 the word "day" or "days" shall mean a calendar day  
21 except that if the day is the last day of a specific  
22 time period and falls upon a Saturday, Sunday, or legal  
23 holiday, the time prescribed shall be extended so as to  
24 include the whole of the next day in which the offices  
25 of the senate and the general assembly are open for  
26 official business.

27     23. COMPLAINT FILING FORM. The following form  
28 shall be used to file a complaint under these rules:

29                                 THE SENATE  
30                                 Ethics Complaint Form



S.R. \_\_\_\_\_

1 Re: \_\_\_\_\_

2 (Senator/Lobbyist/Client of Lobbyist), of

3 \_\_\_\_\_, Iowa.

4 I, \_\_\_\_\_ (Complainant),

5 residing at \_\_\_\_\_, in the City of

6 \_\_\_\_\_, State of \_\_\_\_\_,

7 hereby complain that \_\_\_\_\_

8 (Senator/Lobbyist/Client of Lobbyist), whose address

9 is \_\_\_\_\_, has

10 violated the Senate Code of Ethics or Joint Rules

11 Governing Lobbyists in that:

12 (Explain the basis for the complaint here. Use  
13 additional pages, if necessary.)

14 Under penalty of perjury, I certify that the above  
15 complaint is true and correct as I verily believe.

16

17 \_\_\_\_\_  
Signature of Complainant

18 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_

19 day of \_\_\_\_\_, \_\_\_\_\_.  
20

21 \_\_\_\_\_  
Notary Public in and for the  
22 State of \_\_\_\_\_

23 24. COMPLAINT NOTICE FORM. The following form  
24 shall be used for notice of a complaint under these  
25 rules:

26 STATE OF IOWA

27 THE SENATE

28 COMMITTEE ON ETHICS )

29 IOWA STATE SENATE )

30 )

S.R. \_\_\_\_\_

1 On The Complaint Of ) NOTICE OF COMPLAINT

2 )

3 \_\_\_\_\_ )

4 )

5 And Involving )

6 )

7 \_\_\_\_\_ )

8 )

9 TO \_\_\_\_\_,

10 Senator or Lobbyist or Client of Lobbyist named  
11 above:

12 You are hereby notified that there is now on file  
13 with the Secretary of the Senate, State Capitol, Des  
14 Moines, Iowa, a complaint which alleges that you have  
15 committed a violation of the Senate's Code of Ethics or  
16 Joint Rules Governing Lobbyists.

17 A copy of the complaint and the Senate rules for  
18 processing the same are attached hereto and made a part  
19 of this notice.

20 You are further notified and requested to file your  
21 written answer to the complaint within ten days of the  
22 date upon which the notice was caused to be delivered  
23 to you, (date) \_\_\_\_\_, \_\_\_\_\_.

24 Your answer is to be filed with the Secretary of the  
25 Senate, State Capitol, Des Moines, Iowa.

26 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

27

28 \_\_\_\_\_  
29 Chair, Senate Ethics Committee,  
or Secretary of the Senate

30 25. HEARING NOTICE FORM. The following form shall

S.R. \_\_\_\_\_

1 be used for notice of a hearing under these rules:

2 STATE OF IOWA

3 THE SENATE

4 COMMITTEE ON ETHICS )

5 IOWA STATE SENATE )

6 )

7 On The Complaint Of ) NOTICE OF HEARING

8 )

9 \_\_\_\_\_ )

10 )

11 And Involving )

12 )

13 \_\_\_\_\_ )

14 )

15 TO \_\_\_\_\_,

16 Senator or Lobbyist or Client of Lobbyist named  
17 above:

18 You are hereby notified that there is now on file  
19 with the Secretary of the Senate, State Capitol, Des  
20 Moines, Iowa, a complaint which alleges that you have  
21 committed a violation of the Senate's Code of Ethics or  
22 Joint Rules Governing Lobbyists.

23 A copy of the complaint and the Senate rules for  
24 processing the same are attached hereto and made a part  
25 of this notice.

26 You are further notified that, after preliminary  
27 review, the committee has caused a public hearing to be  
28 scheduled on (date) \_\_\_\_\_, \_\_\_\_\_, at  
29 (hour) \_\_\_\_\_ (a.m.) (p.m.), in Room \_\_\_\_\_, State  
30 Capitol, Des Moines, Iowa.

S.R. \_\_\_\_\_

1 At the hearing, you will have the right to appear  
2 in person, be represented by legal counsel at your own  
3 expense, present statements and evidence, and examine  
4 and cross-examine witnesses. The committee shall  
5 not be bound by formal rules of evidence, but shall  
6 receive relevant evidence, subject to limitations on  
7 repetitiveness. Any evidence taken shall be under  
8 oath.

9 The committee may continue the hearing to a future  
10 date if necessary for appropriate reasons or purposes.

11 You are further notified that the committee will  
12 receive such evidence and take such action as warranted  
13 by the evidence.

14 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
15

16 \_\_\_\_\_  
17 Chair, Senate Ethics Committee,  
or Secretary of the Senate

18 26. PERSONAL FINANCIAL DISCLOSURE FORM. The  
19 following form shall be used for disclosure of economic  
20 interests under these rules and section 68B.35:

21 STATEMENT OF ECONOMIC INTERESTS

22 Name: \_\_\_\_\_  
23 (Last) (First) (Middle Initial)

24 Address: \_\_\_\_\_  
25 (Street Address, Apt.#/P.O. Box)

26 \_\_\_\_\_  
27 (City) (State) (Zip)

28 Phone: (Home) \_\_\_\_/\_\_\_\_-\_\_\_\_ (Business) \_\_\_\_/\_\_\_\_-\_\_\_\_

29 \*\*\*\*\*

30 a. Please list each business, occupation, or

1 profession in which you are engaged. In listing  
2 the business, occupation, or profession, it is  
3 not necessary that your employer or the name of  
4 the business be listed, although all businesses,  
5 occupations, or professions must be listed, regardless  
6 of the amount of income derived or time spent  
7 participating in the activity. (Examples of types  
8 of businesses, occupations, or professions that may  
9 be listed: teacher, lawyer, legislator, real estate  
10 agent, insurance adjuster, salesperson....)

- 11 (1) \_\_\_\_\_  
12 (2) \_\_\_\_\_  
13 (3) \_\_\_\_\_  
14 (4) \_\_\_\_\_  
15 (5) \_\_\_\_\_

16 b. Please list the nature of each of the  
17 businesses, occupations, or professions which you  
18 listed in paragraph "a", above, unless the nature of  
19 the business, occupation, or profession is already  
20 apparent from the information indicated above. The  
21 descriptions in this paragraph should correspond by  
22 number to the numbers for each of the businesses,  
23 occupations, or professions listed in paragraph "a".  
24 (Examples: If you indicated, for example, that you  
25 were a salesperson in subparagraph (1) of paragraph  
26 "a", you should list in subparagraph (1) of this  
27 paragraph the types of goods or services sold in this  
28 item. If you indicated that you were a teacher in  
29 subparagraph (2) of paragraph "a", you should indicate  
30 in subparagraph (2) of this paragraph the type of

1 school or institution in which you provide instruction  
 2 or whether the instruction is provided on a private  
 3 basis. If you indicated that you were a lawyer in  
 4 subparagraph (3) of paragraph "a", you should indicate  
 5 your areas of practice and whether you are in private,  
 6 corporate, or government practice in subparagraph (3)  
 7 of this paragraph. If you indicated in subparagraph  
 8 (4) of paragraph "a" that you were a consultant, in  
 9 subparagraph (4) of this paragraph you should indicate  
 10 the kind of services provided and types of clients  
 11 served.)

- 12 (1) \_\_\_\_\_
- 13 (2) \_\_\_\_\_
- 14 (3) \_\_\_\_\_
- 15 (4) \_\_\_\_\_
- 16 (5) \_\_\_\_\_

17 c. Please list each source, by general description,  
 18 from which you receive, or which generates, more than  
 19 one thousand dollars in gross annual income in the  
 20 categories listed below. For purposes of this item,  
 21 a source produces gross annual income if the revenue  
 22 produced by the source is subject to federal or state  
 23 income taxes. In completing this item, it is not  
 24 necessary to list the name of the company, business,  
 25 financial institution, corporation, partnership, or  
 26 other entity which constitutes the source of the income  
 27 and the amount or value of the holding should not be  
 28 listed.

29 (1) Securities (Here for example, you need not  
 30 state that you own X number of shares of any specific

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1 company by brand or corporate name, or that the stock  
2 is of a certain value, but may instead state that you  
3 possess stock in a company and indicate the nature of  
4 the company's business.):

5 \_\_\_\_\_  
6 \_\_\_\_\_  
7 \_\_\_\_\_  
8 \_\_\_\_\_  
9 \_\_\_\_\_

10 (2) Instruments of Financial Institutions (You  
11 need not indicate, for example, in which institutions  
12 you hold certificates of deposit that produce annual  
13 income over the one thousand dollar threshold, but  
14 simply listing the nature of the institution will  
15 suffice, e.g., bank, credit union, or savings and loan  
16 association.):

17 \_\_\_\_\_  
18 \_\_\_\_\_  
19 \_\_\_\_\_  
20 \_\_\_\_\_  
21 \_\_\_\_\_

22 (3) Trusts (The name of the particular trust need  
23 not be listed. However, if the income is received from  
24 a charitable trust/foundation, such as the ~~Pugh~~ Pew  
25 Charitable Trust, in the form of a grant, the fact that  
26 the trust is a charitable trust should be noted here.):

27 \_\_\_\_\_  
28 \_\_\_\_\_  
29 \_\_\_\_\_  
30 \_\_\_\_\_

1

2 (4) Real Estate (When listing real estate, it is  
3 not necessary to list the location of the property, but  
4 the general nature of the real estate interest should  
5 be indicated, e.g., residential leasehold interest or  
6 farm leasehold interest.):

7

8

9

10

11

12 (5) Retirement Systems (When listing retirement  
13 benefits, it is not necessary to list the name of  
14 the particular pension system or company, but rather  
15 the type of benefit should be listed, e.g., health  
16 benefits, life insurance benefits, private pension, or  
17 government pension.):

18

19

20

21

22

23 (6) Other Income Categories Specified in State or  
24 Federal Income Tax Regulations (List description of  
25 other sources of income producing over one thousand  
26 dollars in annual income not previously reported above,  
27 but which must be reported for income tax purposes.):

28

29

30



S.R. \_\_\_\_\_

1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 \_\_\_\_\_  
4 \_\_\_\_\_  
5 (Signature of filer) \_\_\_\_\_ (Date) \_\_\_\_\_